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**PATENT**  
Attorney Docket No. 227833  
Client Reference No. JF-133US

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Sunami et al.

Group Art Unit: 1614

Application No. 10/802,220

Examiner: Unassigned

Filed: March 17, 2004

For: PHARMACEUTICAL COMPOSITIONS  
OF CETP INHIBITORS

**INFORMATION DISCLOSURE STATEMENT**

Mail Stop  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Pursuant to 37 CFR 1.97 and 1.98, the references listed on the enclosed Form PTO-1449 and/or Substitute Form PTO-1449 ("Form 1449") are submitted for consideration by the Examiner in the examination of the above-identified patent application.

The full consideration of the references in their entirety by the Examiner is respectfully requested and encouraged. Also, it is respectfully requested that the references be entered into the record of the present application and that the Examiner place his or her initials in the appropriate area on the enclosed Form 1449, thereby indicating the Examiner's consideration of each of the references.

The submission of the references listed on the Form 1449 is for the purpose of providing a complete record and is not a concession that the references listed thereon are prior art to the invention claimed in the patent application. The right is expressly reserved to establish an invention date earlier than the above-identified filing date in order to remove any reference submitted herewith as prior art should it be deemed appropriate to do so.

Further, the submission of the references is not to be taken as a concession that any reference represents art that is relevant or analogous to the claimed invention. Accordingly, the right to argue that any reference is not properly within the scope of prior art relevant to an examination of the claims in the above-identified application is also expressly reserved.

The Information Disclosure Statement is being filed:

- ☒ **within** any one of the following time periods: (a) within three months of the filing date of a national application other than a continued prosecution application under 37 CFR 1.53(d); (b) within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 of an international application; (c) before the mailing date

of a first Office Action on the merits; or (d) before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

- ☐ **after** (a), (b), (c) or (d) above, but before the mailing date of a final action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an action that otherwise closes prosecution in the application, and includes *one* of:

☐ the Statement under 37 CFR 1.97(e) (see "Statement under 37 CFR 1.97(e)" below).

*or*

☐ the fee of \$180 set forth in 37 CFR 1.17(p) (see "Fees" below).

- ☐ **after** the mailing date of a final action under 37 CFR 1.113 or a Notice of Allowance under 37 CFR 1.311, or an action that otherwise closes prosecution in the application, and on or before payment of the issue fee, and includes the Statement under 37 CFR 1.97(e) (see "Statement under 37 CFR 1.97(e)" below), and the fee of \$180 as set forth in 37 CFR 1.17(p) (see "Fees" below).

- ☐ **after** the mailing date of a Notice of Allowance under 37 CFR 1.311, and on or before payment of the issue fee, and **within** thirty days of receiving each item of information contained in the Information Disclosure Statement, and includes the Statement under 37 CFR 1.704(d) (see "Statement under 37 CFR 1.704(d)" below), and the fee of \$180 as set forth in 37 CFR 1.17(p) (see "Fees" below).

NOTE: This is for original applications except applications for a design patent, filed on or after May 29, 2000, wherein a paper containing only an Information Disclosure Statement in compliance with 37 CFR 1.97 and 1.98 is being filed.

#### Copies of the References

- ☐ Copies of all of the references listed on the enclosed Form 1449 are enclosed herewith.

- ☒ This patent application was filed after June 30, 2003. Accordingly, copies of U.S. patents and patent applications that are listed on the accompanying Form 1449 are not enclosed herewith (see Official Gazette Notice of August 5, 2003). Copies of other references identified on the accompanying Form 1449 are enclosed herewith.

- ☒ Attached to each reference not in the English language is a concise explanation of the relevance pursuant to 37 CFR 1.98(a)(3). An English-language equivalent/patent, or an English-language abstract, or an English-language version of the search report or action by a foreign patent office in a counterpart foreign application indicating the degree of relevance found by the foreign office is being submitted in lieu of a concise explanation of the relevance pursuant to 37 CFR 1.98(a)(3).

- ☒ A copy of the foreign search report is enclosed herewith.

- ☐ The references listed on the enclosed Form 1449 were previously identified in the parent application(s) of the present application, and copies of the references were furnished at that time. Accordingly, additional copies of the references are not submitted herewith, so as not to burden the file with duplicate copies of references. The Examiner is respectfully requested to carefully review the references in accordance with the requirements set out in the Manual of Patent Examining Procedure. In accordance with 37 CFR 1.98(d), the details of the parent application(s) relied upon for an earlier filing date under 35 USC 120 in which copies of the references were previously furnished are set out below:

| U.S. APPLICATIONS |                  | Status ( <i>check one</i> ) |         |           |
|-------------------|------------------|-----------------------------|---------|-----------|
| U.S. APPLICATIONS | U.S. FILING DATE | PATENTED                    | PENDING | ABANDONED |
| 1.                |                  |                             |         |           |
| 2.                |                  |                             |         |           |
| 3.                |                  |                             |         |           |

**Statement under 37 CFR 1.97(e)**

- ☐ The **undersigned** hereby states that each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of the Information Disclosure Statement.
- ☐ The **undersigned** hereby states that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign patent application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

**Statement under 37 CFR 1.704(d)**

- ☐ The **undersigned** hereby states that each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and that this communication was not received by any individual designated in 37 CFR 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.

**Fees**

- ☒ **No fee** is owed by the applicant(s).  
☐ The **IDS Fee of \$180** under 37 CFR 1.17(p) is enclosed herewith.

In re Appln. of Sunami et al.  
Application No. 10/802,220

**Method of Payment of Fees**


- ☐ Attached is a check in the amount of \$  
☐ Charge Deposit Account No. 12-1216 in the amount of \$ . (A duplicate copy of  
this communication is enclosed for that purpose.)

**Authorization to Charge Additional Fees**

- ☒ If any additional fees are owed in connection with this communication, please charge  
Deposit Account No. 12-1216. (A duplicate copy of this communication is enclosed  
for that purpose.)

**Instructions as to Overpayment**

- ☒ Credit Account No. 12-1216.  
☐ Refund

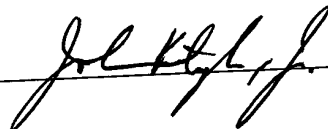
  
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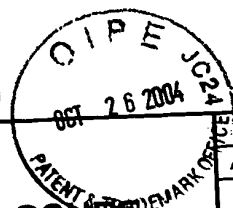
**CERTIFICATE OF MAILING**

I hereby certify that this INFORMATION DISCLOSURE STATEMENT (along with any  
documents referred to as being attached or enclosed) is being deposited with the United States Postal  
Service on the date shown below with sufficient postage as first class mail in an envelope addressed  
to: Mail Stop, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Date: October 19, 2004



Please type a plus sign (+) inside this box → ☐



Substitute for form 1449A/B/PTO

# **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1 of 1

**Complete if Known**

Application Number 10/802,220  
Filing Date March 17, 2004  
First Named Inventor Sunami et al.  
Group Art Unit 1614  
Examiner Name Unassigned  
Attorney Docket Number 227833

## **U.S. PATENT DOCUMENTS**

| Examiner Initials | Doc. No. | U.S. Patent Document         |           | Name of Patentee or Applicant | Date of Publication | Filing Date If Appropriate |
|-------------------|----------|------------------------------|-----------|-------------------------------|---------------------|----------------------------|
|                   |          | Application or Patent Number | Kind Code |                               |                     |                            |
|                   | EK       | 4,346,277                    |           | Wojtecki et al.               | Aug. 24, 1982       |                            |
|                   | EL       | 4,444,784                    |           | Hoffman et al.                | Apr. 24, 1984       |                            |
|                   | EM       | 4,681,893                    |           | Roth                          | Jul. 21, 1987       |                            |
|                   | EN       | 5,011,930                    |           | Fujikawa et al.               | Apr. 30, 1991       |                            |
|                   | EO       | 5,030,447                    |           | Joshi et al.                  | Jul. 9, 1991        |                            |
|                   | EP       | 5,180,589                    |           | Joshi et al.                  | Jan. 19, 1993       |                            |
|                   | EQ       | 5,260,440                    |           | Hirai et al.                  | Nov. 9, 1993        |                            |
|                   | ER       | 5,273,995                    |           | Roth                          | Dec. 28, 1993       |                            |
|                   | ES       | 5,354,772                    |           | Kathawala                     | Oct. 11, 1994       |                            |
|                   | ET       | 5,356,896                    |           | Kabadi et al.                 | Oct. 18, 1994       |                            |
|                   | EU       | 5,622,985                    |           | Olukotun et al.               | Apr. 22, 1997       |                            |
|                   | EV       | 5,686,104                    |           | Mills et al.                  | Nov. 11, 1997       |                            |
|                   | EW       | 5,916,595                    |           | Chen et al.                   | Jun. 29, 1999       |                            |
|                   | EX       | 5,969,156                    |           | Briggs et al.                 | Oct. 19, 1999       |                            |
|                   | EY       | RE36,481                     |           | Inamine et al.                | Jan. 4, 2000        |                            |
|                   | EZ       | RE36,520                     |           | Smith et al.                  | Jan. 18, 2000       |                            |
|                   | FA       | 6,080,778                    |           | Yankner et al.                | Jun. 27, 2000       |                            |
|                   | FB       | 6,126,971                    |           | Mills et al.                  | Oct. 3, 2000        |                            |
|                   | FC       | 6,242,003                    |           | Kalb et al.                   | Jun. 5, 2001        |                            |

## **FOREIGN PATENT DOCUMENTS**

| Examiner Initials | Doc. No. | Foreign Patent Document |                              |           | Name of Patentee or Applicant | Date of Publication | Translation |      |
|-------------------|----------|-------------------------|------------------------------|-----------|-------------------------------|---------------------|-------------|------|
|                   |          | Office                  | Application or Patent Number | Kind Code |                               |                     | Yes         | No** |
|                   |          |                         |                              |           |                               |                     |             |      |
|                   |          |                         |                              |           |                               |                     |             |      |
|                   |          |                         |                              |           |                               |                     |             |      |

## **OTHER - NON PATENT LITERATURE DOCUMENTS**

| Examiner Initials | Doc. No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number (s), publisher, city and/or country where published. | Translation |      |
|-------------------|----------|--|-------------|------|
|                   |          |  | Yes         | No** |
|                   | FD       | INAZU et al., <i>Current Opinion in Investigational Drugs</i> , 4(3): 291-297 (March 1, 2003)  |             |      |
|                   | FE       | WIERZBICKI, <i>Expert Opinion on Emerging Drugs</i> , 8(2): 365-376 (2003)   |             |      |
|                   |          |  |             |      |

Examiner Signature \_\_\_\_\_ Date Considered \_\_\_\_\_

- \* A concise statement of relevance is being submitted in lieu of a translation. 37 CFR 1.98(a)(3).
- + An English-language equivalent/patent, or an English-language abstract, or an English-language version of the search report or action by a foreign patent office in a counterpart foreign application indicating the degree of relevance found by the foreign office is being submitted in lieu of a concise explanation of relevance under 37 CFR 1.98(a)(3).